



Docket 85168PCW
Customer No. 01333

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

Venkata R. Gorantla, et al

CHEMICAL MECHANICAL
PLANARIZATION OF WAFERS OR
FILMS USING FIXED POLISHING PADS
AND A NANOPARTICLE
COMPOSITION

Serial No. 10/662,215

Filed 12 September 2003

Commissioner for Patents
P.O. Box 1450
Alexandria, VA. 22313-1450

Group Art Unit: *To Be Assigned*

Examiner: *To Be Assigned*

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Lois A. Massar
Lois A. Massar

Oct 1, 2003
Date

Sir:

INFORMATION DISCLOSURE STATEMENT FOR CONSIDERATION
BY THE OFFICE UNDER 37 C.F.R. 1.97-1.99

Enclosed herewith are patents and/or publications for consideration by the Patent and Trademark Office in regard to the invention claimed in the above-described application. In compliance with §1.56, such documents are listed in the enclosed Form PTO-1449.

Applicants request that the Patent and Trademark Office make of record the above-identified documents. A full text copy of each document is attached, except for copies of U.S. patents and U.S. patent application publications. For documents not in English, an English translation or an equivalent English language patent or publication may be attached. Where a translation is not available, a concise explanation of the relevance of each document not in English is included either here or in the specification.

This Information Disclosure Statement (hereinafter "Statement") is submitted according to the following selected paragraph:

- I. ☒ This Statement is being filed under §1.97(b) within three months of the filing date of the application (other than a CPA), or before the mailing of a first Office action on the merits or before the mailing of a first Office action after the filing of a request for continued examination.
- II. ☐ This Statement is being filed under §1.97(c), with fee, **prior** to the mailing date of any of a final action, a notice of allowance or an action that otherwise closes prosecution in the application. Please charge the fee required by §1.17(p) to Eastman Kodak Company Deposit Order Account Number 05-0225. A duplicate copy of this Certification is enclosed.

III. ☐ This Statement is being filed under §1.97(c), with a certification under, §1.97(e) **prior** to the mailing date of any of a final action, a notice of allowance or an action that otherwise closes prosecution in the application. The undersigned hereby states that (check one):

☐ each item of information contained in this Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement.


☐ no item of information in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing this certification under §1.97(e) after making reasonable inquiry, no item of information contained in this Statement was known to any individual designated in §1.56(c) more than three months prior to the filing of this Statement.

IV. ☐ This Statement is being filed under §1.97(d), with fee and certification under §1.97(e), on or after the mailing date of either a final action, a notice of allowance (but prior to payment of the issue fee) or an action that otherwise closes prosecution in the application. Please charge the fee required by §1.17(p) to Eastman Kodak Company Deposit Order Account No. 05-0225. A duplicate copy of this Certification is enclosed. The undersigned hereby states that (check one):

☐ each item of information in this Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement.

☐ no item of information in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing this certification under §1.97(e) after making reasonable inquiry, no item of information contained in this Statement was known to any individual designated in §1.56(c) more than three months prior to the filing of this Statement.

Respectfully submitted,



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Enclosures

FORM PTO-1449

US DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICE

Atty. Docket No.

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10/662,215

If AFTER the later date of the first Office Action or 3 months from filing, use only with Rule 97(E) Certificate or Fee

Applicant:

Venkata R. Gorantla, et al

LIST OF ART CITED BY APPLICANT

(Use several sheets if necessary)

Filing Date

12 September 2003

Group

To Be Assigned

U.S. PATENT DOCUMENTS

Examiner Initial*	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	6540,935 B2	04-01-2003	Lee et al.			
	6,491,843 B1	12-10-2002	Srinivasan et al.			
	6,485,355 B1	11-26-2002	Economikos et al.			
	6,468,910 B1	10-22-2002	Srinivasan et al.			
	6,299,659 B1	10-09-2001	Kido et al.			
	6,218,305 B1	04-17-2001	Hosali et al.			
	6,171,180 B1	01-09-2001	Koutny, Jr. et al.			
	6,132,637	10-17-2000	Hosali et al.			
	6,042,741	03-28-2000	Hosali et al.			
	6,027,554	02-22-2000	Kodama et al.			
	5,958,794	09-28-1999	Bruxvoort et al.			
	5,876,490	03-02-1999	Ronay			
	5,759,917	06-02-1998	Grover et al.			
	5,738,800	04-14-1998	Hosali et al.			

FOREIGN PATENT DOCUMENTS

Examiner Initial*	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO
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OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

	"Study of pattern density effects in chemical-mechanical planarization using fixed abrasive pads," by Venkata R. Gorantla et al., accepted for publication in Journal of Electrochemical Society (2003).
	"Effects of mixed abrasives in chemical mechanical polishing of oxide films," by Zhenyu Lu, et al., to be published in Journal of Materials Research, October 2003, Vol. 18, No. 10.

EXAMINER

DATE CONSIDERED

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.